United Nations S/2002/1397

Security Council

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The Security Council,

Recalling its previous relevant resolutions, including resolution 661 (1990) of 6 August 1990, 986 (1995) of 14 April 1995, 1284 (1999) of 17 December 1999, 1352 (2001) of 1 June 2001, 1360 (2001) of 3 July 2001, 1382 (2001) of 29 November 2001, 1409 (2002) of 14 May 2002, and in particular, 1447 (2002) of 4 December 2002,

Convinced of the need as a temporary measure to continue to provide for the civilian needs of the Iraqi people until the fulfilment by the Government of Iraq of the relevant resolutions, including notably resolutions 687 (1991) of 3 April 1991 and 1284 (1999), allows the Council to take further action with regard to the prohibitions referred to in resolution 661 (1990), in accordance with the provisions of these resolutions,

Reaffirming the commitment of all Member States to the sovereignty and territorial integrity of Iraq,

Recalling its decision in resolution 1447 (2002) to extend the programme originated by resolution 986 (1995) for 180 days commencing at 0001 hours, Eastern Standard Time, on 5 December 2002 and consider necessary adjustments to the Goods Review List (S/2002/515) and the procedures for its implementation for adoption no later than 3 January 2003 and thereafter to conduct regular, thorough reviews of both,

Reiterating its determination to improve the humanitarian situation in Iraq,

Acting under Chapter VII of the Charter of the United Nations,

1. *Approves*, for implementation beginning at 0001 hours, Eastern Standard Time, on 31 December 2002, the adjustments to the Goods Review List specified in Annex A to this resolution and the revised procedures for implementation of the Goods Review List set forth in Annex B to this resolution, as a basis for the humanitarian programme in Iraq as referred to in resolution 986 (1995) and other relevant resolutions;

2. *Decides* to conduct a thorough review of the Goods Review List and the procedures for its implementation both 90 days after commencement of the period as defined in paragraph 1 of resolution 1447 (2002) and prior to the end of the 180-day period so defined and thereafter to conduct regular, thorough reviews, and, in this

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connection, requests the Committee established by resolution 661 (1990) to review the Goods Review List and the procedures for its implementation as part of its regular agenda and recommend to the Security Council necessary additions to, and/or deletions from, the Goods Review List and procedures;

3. *Directs* the Secretary-General, within sixty days, to develop consumption rates and use levels for the implementation of paragraph 20 of Annex B of this resolution;

4. *Appeals* to all States to continue to cooperate in the timely submission of technically complete applications and the expeditious issuing of export licences and to take all other appropriate measures within their competence in order to ensure that urgently needed humanitarian supplies reach the Iraqi population as rapidly as possible;

5. *Decides* to remain seized of the matter.

Annex A

Textual entries for the proposed item changes to the Goods Review List

Chemical Section:

(1) C.l.0.4.1.0: Quantities of Atropine in doses greater than 0.6 mg/ml, Pralidoxime, Pyridostigmine and their respective salts, medical solutions of Sodium Nitrite, Sodium Thiosulfate that exceed the established consumption rates.

(2) A.52: Any inorganic phosphide that exceeds established consumption rates.

Note: Quantities of phosphides utilized with food grain shipments do not require review provided the amounts do not exceed 20 g of phosphide per metric tonne of grain.

(3) A.02, A.06, A.07, A.08, B.0l, B.02, B.03, B.08, B.l0, B.11, B.12: Remove n=1-3 restriction on various chemical entries.

Note: For List B chemicals:

Where n=1-3, the chemical shall be considered prohibited. Where n>3, the chemical will be referred for review

(4) 1.A.4.d: Quantities of activated carbon, that have been tested and certified effective for chemical weapons agent absorption, that exceed the established consumption rates.

(5) A.53: Quantities of organophosphate pesticides that exceed established consumption rates.

(6) C.l0.4.6: Equipment designed for the disposal of toxic chemicals as follows:

(a) Incineration equipment with an average combustion chamber temperature of over 1,273 K (1,000 C) or catalytic incineration equipment with an average combustion chamber temperature of over 623 K (350 C);

(b) Equipment utilizing disposal technologies other than incineration equipment in (a) to detoxify toxic chemicals including but not limited to liquid neutralization, gas phase chemical reduction, supercritical water oxidation, direct chemical oxidation, solvated electron, and plasma arc processes.

b.l. Liquid neutralization equipment, and specially designed waste supply and material handling systems, with reactor volumes of 0.100 m^3 (100 litres) or greater, in which all surfaces that come into direct contact with the toxic chemicals are made from corrosion resistant materials.

b.2. Gas phase chemical reduction equipment, and specially designed waste supply and material handling systems, with continuous flow capacities for the disposal of toxic chemicals of 0.05 m^3/hr (50 litres/hour) or greater, in which all surfaces that come into direct contact with the toxic chemicals are made from corrosion resistant materials.

b.3. Supercritical water oxidation equipment, and specially designed waste supply and material handling systems, with reactor volumes of 0.05 m^3 (50 litres) or greater, in which all surfaces that come into direct contact with the toxic chemicals are made from corrosion resistant materials.

b.4. Direct chemical oxidation equipment, and specially designed waste supply and material handling systems, with reactor volumes of 0.100 m^3 (100 litres) or greater, in which all surfaces that come into direct contact with the toxic chemicals are made from corrosion resistant materials.

b.5. Solvated electron equipment, and specially designed waste supply and material handling systems, with reactor volumes of 0.100 m^3 (100 litres) or greater, in which all surfaces that come into direct contact with the toxic chemicals are made from corrosion resistant materials.

b.6. Plasma arc equipment, and specially designed waste supply and material handling systems, with continuous flow capacities for the disposal of toxic chemicals of 0.05 m^3/hour (50 litres/hour) or greater, in which all surfaces that come into direct contact with the toxic chemicals are made from corrosion resistant materials.

(7) Entry (vii) and (viii) on list of materials encompassed by the term "corrosion resistant": (vii) nickel or alloys with more than 40 +/- 2 percent nickel by weight (some examples: Alloy 400, AMS 4675, ASME SB 164-B, ASTM B-127, DIN2.4375, EN60, FM60, IN60, Hastelloy, Monel, K500, UNS NO4400, Inconel 600, Colmonoy Nr.6); (viii) alloys with more than 25 +/- 2 percent nickel and 20 +/- 2 percent chromium and/or copper by weight (some examples: Alloy 825 Cunifer 30Cr, EniCu-7, IN 732 X, Inconel 800, Monel 67, Monel WE 187, Nicrofer 3033, UNS C71900, 904L, and CP40).

(8) C.10.4.11: Quantities of autoinjectors that exceed the established consumption rate.

(9) C.10.4.2: Corrosion resistant multiple-seal, canned drive, magnetic drive, bellows or diaphragm pumps, or progressive cavity tubing pumps (including peristaltic or roller pumps in which only the elastometric tubing is corrosion resistant) with manufacturer's specified maximum flow rate of 0.01 m^3 per minute or greater under standard temperature (293 K) and standard pressure (101.30 kP) conditions.

Corrosion resistant vacuum pumps with manufacturer's specified maximum flow rate greater than 0.08 m^3 per minute under standard temperature (293 K) and pressure (101.30 kP) conditions and the following components:

Impellers
Casings

(10) C.10.4.4: Corrosion resistant valves with a smallest inner diameter of 12.5 mm or more and the following components:

Valve wetted parts

Biological Section:

(1) 12: Quantities of Ciprofloxacin, Doxycycline, Gentamycin, Streptomycin that exceed the established consumption rates.

(2) 2.5: Sterilizing equipment designed to sterilize infectious material, with an internal volume equal to 1.0 m^3 or greater and the following components:

Doors
Door Seals

(3) 3.3: Orbital or reciprocal shakers with a total flask capacity greater than 25 litres, designed for use with biological material.

Shaking incubators with a total flask capacity greater than 25 litres, designed for use with biological material.

(4) 5: Quantities of formulated powdered growth media or cell culture media that exceed the established humanitarian use levels.

Quantities of formulated concentrated liquid growth media or cell culture media that exceed the established consumption rates.

Microbial grade yeast extract.

Cell culture grade fetal bovine serum.

(5) 4.1: Centrifugal separators (or decantors) designed for use with biological material capable of continuous operation at a flow rate of 20 litres per hour or greater and specially designed rotors therefor.

(6) 4.2: Batch centrifuges with a rotor capacity of 10 litres or greater, designed for use with biological agents.

(7) 11: Equipment for the microencapsulation of live microorganisms and toxins in the range of 1-15 micron particle size, to include interfacial polycondensors and phase separators, and materials such as lactic acid-glycolic acid copolymer, polyethylene glycol 6000, liposome materials such as phosphatidyl choline and hydrogels such as polyvinylalcohol and polyhydroxyethylmethacrylate, and agarose gel microspheres.

(8) 14: Filter presses and drum dryers capable of use with biological material.

(9) 13: Materials such as ion-exchange resins, gel filtration resins for column chromatography, and affinity chromatography resins used for the separation or purification of toxins.

(10) 1.2.14: Hantaviruses; 1.2.53: Lumpy Skin Disease virus.

(11) 7.2: Aerosol disseminators (other than aircraft sprayers or foggers), capable of dispersing aerosols with an ultimate mean size of 15 microns or less at a flow rate exceeding 1 litre of liquid suspension per minute or 10 grams of dry material per minute and the following components:

Spray tanks
Certified pumps Spray nozzles

Note: This entry excludes dry powder fire extinguishers.

Missile Section:

(1) 2.1: Rocket motor cases and production equipment therefor including interior lining, insulation and nozzles, and the technology, the production facilities and production equipment therefor to include computer controlled welding machines, non-destructive testing (NDT) equipment capable of using ultrasonic or X-ray to

inspect motor case/engine welds; engines, including devices to regulate combustion, and components therefor.

(2) 8.3.1.2: Theodolites with an accuracy of 15 arc seconds or greater accuracy.

(3) 4.2.3: (a) Fluid energy mills usable for grinding or milling ammonium perchlorate, RDX or HMX and ammonium perchlorate hammer and pin mills and the following components:

Casings
Hammer/Anvils

(b) Equipment capable of sizing the resulting particles to below 400 microns.

(4) 5.2, 5.3.1.a and 5.4.a: Modify missile entries to delete the phrase "designed for use in inertial navigation systems or in guidance systems of all types".

(5) 9.1.3: Test benches/stands capable of handling solid or liquid propellant rockets or rocket motors of more than 10 kN (2,248 lbs) of thrust, or capable of measuring one or more of the three axial thrust components along with spare parts, equipment and associated components (e.g. load cells, test sensors).

9.1.3.1: Load cells capable of measuring 8 kN (2,000 lbs) or greater.

9.1.3.2: Pressure transducers capable of measuring 2750 kPa (400 psi) or greater.

Conventional Section:

(1) 7.B.4: Global Navigation Satellite System (GNSS) jammers, GNSS-band signal generators, GNSS waveform/code simulators or GNSS receiver test equipment.

(2) 9.A.13.a: Low-bed trailers/loaders (height of 1.2 m or less) with a payload capacity of 20 MT or greater; bed width of 2.0 metres or more, including those vehicles with any extenders fully deployed; kingpin of 2.5 inches or greater; 3 or more axles; and tyre size of 1,200 x 20 or greater. Tractor or cab may or may not be attached.

(3) 5.A.1.b.7: b. Telecommunications transmission equipment and systems, and specially designed components and accessories therefor, having any of the following characteristics, functions or features:

7. Being radio equipment employing "time modulated ultra-wideband" techniques, having user programmable channelizing or scrambling codes.

5.A.2.a.: Systems, equipment, application specific "electronic assemblies", modules and integrated circuits for information security, as follows, and other specially designed computer components therefor:

5.A.2.a.9: Designed or modified to use cryptographic techniques to generate channelizing or scrambling codes for "time modulated ultra-wideband" systems.

(4) 7.A.3: Inertial Navigation Systems and inertial equipment and components designed therefor:

a. Inertial navigation systems (gimballed or strapdown) and in inertial equipment designed for "aircraft", land vehicle or "spacecraft" for attitude,

guidance or control, having any of the following characteristics, and components designed therefor:

a.1. (Renumbering of current GRL entry 7.A.3.a.)

a.2. (Renumbering of current GRL entry 7.A.3.b.)

b. Hybrid Inertial Navigation Systems embedded with Global Navigation Satellite System(s) (GNSS) or with "Data-based referenced Navigation" ("DBRN") System(s) for attitude, guidance or control, subsequent to normal alignment, having an INS navigation position accuracy, after loss of GNSS or "DBRN" for a period of up to 4 minutes, of less (better) than 10 metres Circular Error Probable (CEP).

(5) 5.A.1.b.8: Radio Intercept/Direction Finding (DF) Equipment/Systems.

(6) 5.A.1.b.7: Being broadcast transmitter (e.g. for radio or television) equipment operating in the .5-500 MHz (MF to UHF broadcast bands) with output power levels above 1 kW (Root-Mean-Square (RMS)).

(7) 1.A.6: Carbon Nanotube Materials; 1.B.4: Scanning Probe Microscope equipment or systems; 1.E.3: Carbon Nanotube Technology.

(8) 7.A.8: Full-Motion Flight Simulators/Training Systems for civilian transport aircraft.

(9) 9.A.13.b and c: Trucks with any military attributes (e.g., armour plating, electromagnetic pulse hardened, independent steering, Global Navigation Satellite Systems (GNSS), Global Navigation Satellite System Jammers and/or Night Vision Systems) or trucks with any of the following attributes: all-wheel drive capability, payload of 20 tons or greater, reinforced chassis, 370 or more engine horsepower, central tyre inflation, run flat capability and/or semi-pneumatic tyres, or independent levelling/stabilization. Truck chassis equipped with hydraulic lift systems over 8 tonnes or capable of attachments such as hoists, cranes, drills, and oil well workover capabilities would be covered as items for review.

(9) A.13.c: Tyres with equal to or greater than 16 ply rating or 10.00 x 20 tyres with non-directional, cross-country (NDCC) tread.

(9) B.11: Moulds designed for the production of the tyres identified in 9.A.13.c.

(10) 3.E.3.g: Other "technology" for the "development" or "production" of:

g. Electronic vacuum tubes operating at frequencies of 31 GHz or higher.

(11) 8.A.1.j: Fast/Workboats, of any construction, with length overall (LOA) in excess of 15 metres capable of speed in excess of 20 knots when laden with rated payload in excess of 1.5 tons or,

Fast/Workboats, of any construction, with length overall (LOA) in excess of 15 metres capable of speed in excess of 20 knots and equipped with corrosion-resistant firefighting water pumps and corrosion resistant nozzles, or

Fast/Workboats, of any construction, with length overall (LOA) in excess of 15 metres capable of speed in excess of 20 knots and equipped with or capable of being equipped with (defined as free or reinforced deck space equal to or greater than 2 metres square or 4 square metres) a crane or cranes with load capacity of one or more metric tons.

(12) 6.A.8: RADAR: ... *Note*: ... 6.A.8 does not require review of: ... d. Meteorological (weather) Radar.

Delete sub-item "d" from the above-referenced exclusion note.

6.A.8.a: All airborne radar equipment and specially designed components therefor, not including radars specially designed for meteorological use ...".

Delete "... radars specially designed for meteorological use ...".

Note: 6.A.8.k does not require review of LIDAR equipment specially designed for surveying or meteorological observation.

Delete "... or meteorological observation".

6.A.9: Equipment or systems, and components designed or adapted therefor, for meteorological observation, modelling and simulation, and/or forecasting.

6.B.9: Test, inspection, and "production" equipment for equipment, systems, and components adapted therefor, for which review is required under 6.A.9.

6.D.4 "Software" for meteorological use.

6.D.4.a: "Software" for the "development", "production", or "use" of equipment or systems requiring review under 6.A.9 or 6.B.9.

6.D.4.b: "Software" designed or adapted for meteorological modelling or simulation.

6.E.4: "Technology" according to the General Technology Note for the "use" of items for which review is required by 6.A.9, 6.B.9 or 6.D.4.

Annex B

Goods Review List procedures

1. The following procedures replace paragraphs 29 to 34 of document S/1996/636* and other existing procedures, notably for the implementation of the relevant provisions of paragraphs 17, 18, and 25 of resolution 1284 (1999) related to the processing of applications to be financed from the escrow account established pursuant to paragraph 7 of resolution 986 (1995).

2. Each application (the "Notification or Request to Ship Goods to Iraq," as attached to these procedures, hereafter referred to as "the application,") for the sale or supply of commodities or products to include services ancillary to the supply of such commodities and products, to Iraq to be financed from the escrow account established pursuant to paragraph 7 of resolution 986 (1995) must be forwarded to the Office of the Iraq Programme (OIP) by the exporting States through permanent or observer missions, or by United Nations agencies and programmes. Each application should include complete technical specifications, as requested in the standard application form, concluded arrangements (e.g., contracts), and other relevant information, including, if known, whether the application contains any item(s) covered by the Goods Review List (GRL), in order for a determination to be made on whether the application contains any item referred to in paragraph 24 of resolution 687 (1991) as it relates to military commodities and products, or military-related commodities or products covered by the GRL.

3. Each application will be reviewed and registered by OIP within ten working days. In the case of a technically incomplete application, OIP may request additional information before transmitting the application to the United Nations Monitoring, Verification and Inspection Commission (UNMOVIC) and the International Atomic Energy Agency (IAEA). If OIP determines that the requested information is not provided within 90 days, the application will be considered supplier-inactive and no further action on the application will be taken until the information is provided. If the requested information is not received within a further 90 days, the application will lapse. OIP should notify the submitting mission or United Nations agency in writing of any change in the status of the application. The OIP will identify an official to act as a contact point on each application.

4. After OIP registration of the application, each application will be evaluated by technical experts from UNMOVIC and IAEA in order to determine whether the application contains any item referred to in paragraph 24 of resolution 687 (1991) as it relates to military commodities and products, or military-related commodities or products covered by the GRL (GRL item(s)). At their discretion and subject to the approval of the 661 Committee, UNMOVIC and IAEA may issue guidance regarding what categories of applications do not contain any item(s) covered by paragraph 24 of resolution 687 (1991) as it relates to military commodities and products, or military-related commodities or products covered by the GRL. UNMOVIC, IAEA and OIP, working in consultation, may develop a procedure whereby OIP may evaluate and approve applications that, based on this guidance, fall within these categories.

UNMOVIC and IAEA should put into their records the information about the applications mentioned in subparagraphs a, b, c and d below, without prejudice to the review of these applications under the current procedures, and this information

should be subject to review, together with the reviews of the GRL and its procedures as set forth in paragraph 2 of this resolution, when:

(a) An application contains information about an item reviewed by UNMOVIC and IAEA that can be applied to weapons of mass destruction or missiles systems, or increase conventional military capabilities; or,

(b) The technical review of an application by UNMOVIC and IAEA yields ambiguity as to whether the technical specifications of any item included in such application are items covered by the GRL; or,

(c) The technical evaluation of any application conducted by UNMOVIC or IAEA determines that the amount of any item included in an application exceeds requirements typically associated with the civilian end use and the item is deemed to have potential military applications;

(d) The 661 Committee may request that Iraq explain the apparent stockpiling of an item through its purchases, and may request that OIP conduct an independent investigation.

In general, when experience under resolution 1409 (2002) and this resolution indicates to OIP, UNMOVIC, and the IAEA a need for adjustment of the Goods Review List and its procedures with a view to facilitating the flow of humanitarian goods to Iraq, then OIP, UNMOVIC, and the IAEA shall recommend appropriate adjustments for consideration by the Council in the context of regular reviews of the Goods Review List and its procedures.

5. Military goods and services are prohibited for sale or supply to Iraq under paragraph 24 of resolution 687 (1991) and are not subject to review under the GRL. For consideration of dual-use goods and services referred to in paragraph 24 of resolution 687 (1991), UNMOVIC and IAEA should process these goods and services pursuant to paragraph 9 of these procedures.

6. Upon receipt of a registered application from OIP, UNMOVIC and/or IAEA will have ten working days to evaluate an application as set forth in paragraphs 4 and 5. Absent action by UNMOVIC and/or IAEA within the ten working day period, the application will be considered approved. In the course of conducting the technical evaluation as set out in paragraphs 4 and 5 above, UNMOVIC and/or IAEA may request additional information from the submitting missions or United Nations agency. The submitting mission or United Nations agency should provide the additional information requested within a period of 90 days. Once UNMOVIC and/or IAEA receive the requested information, UNMOVIC and/or IAEA will have ten working days to evaluate the application under the procedure set forth in paragraphs 4 and 5.

7. If UNMOVIC and/or IAEA determine that the submitting mission or United Nations agency has not provided the requested additional information within the 90-day period set out in paragraph 6 above, the application will be considered supplier-inactive and no further action on the application will be taken until the information is provided. If the requested information is not provided within a further 90 days, the application will lapse. OIP should notify the submitting mission or United Nations agency in writing of any change in the status of the application.

8. If UNMOVIC and/or the IAEA determine that the application contains any item referred to in paragraph 24 of resolution 687 (1991) as it relates to military

commodities and products, the application shall be considered ineligible for approval for the sale or supply to Iraq. UNMOVIC and/or IAEA will provide to the submitting mission or United Nations agency through OIP a written explanation of this determination.

9. If UNMOVIC and/or IAEA determine that the application contains any GRL item(s), they will immediately inform through OIP the submitting mission or United Nations agency. Pursuant to paragraph 11 below, absent a request by the submitting mission or United Nations agency for reconsideration within ten working days, OIP will forward the application containing the GRL item(s) to the 661 Committee for the purpose of evaluating whether the GRL item(s) may be sold or supplied to Iraq. UNMOVIC and/or IAEA will provide to the 661 Committee through OIP a written explanation of this determination. In addition, OIP, UNMOVIC and/or IAEA, at the request of the submitting mission or United Nations agency, will provide to the 661 Committee a complete and thorough assessment of the humanitarian, economic and security implications, of the approval or denial of the GRL item(s), including the viability of the whole contract in which the GRL item(s) appears and the risk of diversion of the item(s) for military purposes. The assessment provided by OIP to the 661 Committee should be transmitted in parallel by OIP to the submitting mission or United Nations agency. OIP will immediately inform appropriate United Nations agents of the finding of a GRL item(s) in the application and that the GRL item(s) may not be sold or supplied to Iraq unless otherwise notified by OIP that the procedures set forth in paragraphs 11 or 12 have resulted in approval for sale or supply of the GRL item to Iraq. The remaining items in the application, which are determined as not covered by the GRL, will be considered approved for sale or supply to Iraq and, at the discretion of the submitting mission or United Nations agency, and with the consent of the contracting parties, will be processed according to the procedure in paragraph 10 below. The relevant approval letter may be issued for such approved items under request from the submitting mission or United Nations agency.

10. If UNMOVIC and/or IAEA determine that the application does not contain any item referred to in paragraph 4 above, OIP will inform immediately the Government of Iraq and the submitting mission or United Nations agency in written form. The exporter will be eligible for payment from the escrow account established pursuant to paragraph 7 of resolution 986 (1995) upon verification by United Nations agents that the items in the application have arrived in Iraq as contracted. OIP and the United Nations Treasury will inform the banks within five working days that the items in the application have arrived in Iraq.

11. If the mission or United Nations agency submitting an application disagrees with the determination that an application contains an item(s) covered by paragraph 24 of resolution 687 as it relates to military commodities and products, or military-related commodities or products covered by the GRL, it may request a reconsideration of this decision, based on the provision of technical information and/or explanations not previously included in the application, within ten working days to OIP. In that event, UNMOVIC and/or IAEA, will appoint experts to reconsider the item(s) in accordance with the procedures set out in paragraphs 4 to 6 above. The decision of UNMOVIC and/or IAEA will be final and no further reconsideration will be permitted. UNMOVIC and/or IAEA will provide to the 661 Committee through OIP a written explanation of the final decision of the

reconsideration process. Applications shall not be forwarded to the 661 Committee until the reconsideration period has expired without a request being filed.

12. Upon receipt of an application pursuant to paragraphs 9 or 11 above, the 661 Committee will have 10 working days to determine under existing procedures whether the item(s) may be sold or supplied to Iraq. The Committee may take a decision on an item(s) according to the following options: (a) Approval; (b) Approval subject to conditions as stipulated by the 661 Committee; (c) Denial; (d) Request for additional information. Absent action by the Committee within the 10 working day period, the application will be considered approved. A Committee member may request additional information. If the additional information is not provided in the 90-day period, the item(s) will be considered supplier-inactive and no further action on the application will be taken until the information is provided. If the requested information is not provided within a further 90 days, the application will be considered lapsed. OIP should notify the submitting mission or United Nations agency in writing of any change in the status of the application. The 661 Committee will have 20 working days to evaluate the requested additional information once provided by the submitting mission or United Nations agency. Absent action by the Committee during the 20 working day period, the item will be considered approved.

13. Where the 661 Committee does not approve an item(s) for sale or supply to Iraq, the Committee will notify the submitting mission or United Nations agency with an explanation through OIP accordingly. The submitting mission or United Nations agency will have 30 working days to petition OIP to have the 661 Committee reconsider its decision based on new information not previously included in the application as reviewed by the 661 Committee. A decision by the 661 Committee on a petition received during this period shall be made within five working days and shall be considered final. Absent such a petition within 30 working days, the item will be considered ineligible for sale or supply to Iraq and OIP will notify the submitting mission or United Nations agency accordingly.

14. If an item(s) is found ineligible for sale or supply to Iraq or if an application is considered lapsed, the supplier may submit a new application based on either a new or an amended contract or donation documentation, and the new application will be evaluated under the procedures enumerated in this document and will append the original application (for information purposes only and to facilitate review).

15. If an item(s) is substituted for an item(s) that is either found ineligible for sale or supply to Iraq or is considered lapsed, the new item(s) will be submitted as a new application under the procedures enumerated in this document and will append the original application (for information purposes only and to facilitate review).

16. Experts from OIP, UNMOVIC and IAEA who evaluate applications should be drawn from the broadest possible geographical base.

17. The United Nations Secretariat will report to the 661 Committee at the end of each phase on the status of all applications submitted during this period, including contracts recirculated pursuant to paragraph 18 below. The Secretariat will provide to members of the 661 Committee, at their request, copies of applications approved by OIP, UNMOVIC, and IAEA, within three working days after their approval, for information purposes only.

18. Notwithstanding provisions of paragraph 17 above, all technical information transmitted to OIP, UNMOVIC and/or IAEA by the submitting missions or United Nations agency in accordance with these procedures is totally confidential.

19. OIP will divide contracts currently on hold into two categories: category A and category B. Category A will contain contracts on hold that have been designated by UNMOVIC as containing item(s) on one or more of the United Nations Security Council resolution 1051 lists. Category A will also contain contracts that were both processed before the Security Council adopted United Nations Security Council resolution 1284 and assessed by one or more members of the 661 Committee as containing item(s) on one or more of the United Nations Security Council resolution 1051 lists. OIP will consider contracts in category A to be "returned to the submitting mission or United Nations agency" and will notify the submitting mission or United Nations agency accordingly, including national comments if possible. The submitting mission or United Nations agency may submit a contract in category A as a new application under the GRL procedures. In category B will be all other contracts currently on hold. Contracts in category B will be recirculated by OIP under the GRL procedures. OIP will append the original committee registration number and national comments, for information purposes only, to any recirculated contracts. OIP should start this recirculation procedure within 60 days of adoption of this resolution and should complete the recirculation process within 60 days thereafter.

20. OIP shall approve humanitarian consumption rates and use levels for each chemical and medication specified in items 1, 2, 4, 5 and 8, Chemical Section and item 1 and 4, Biological Section of Annex A to the resolution. In establishing consumption rates, OIP shall be guided by information of typical civilian utilization of each item specified as appropriate for different periods of the year. OIP shall be guided further by the Council's central objective to facilitate and expedite the flow of medicines and medicinal chemicals for the benefit of the Iraqi people while providing the Council an opportunity to prevent stockpiling of such items to support military and weapons of mass destruction/missile applications. Proposed purchases by Iraq of these items that do not exceed the consumption rates established for each item shall be approved by the Secretariat; proposed purchases of these items that exceed the established consumption rates shall be referred to the 661 Committee for review consistent with these procedures. OIP shall process applications for these materials in the interim 60-day period prior to the implementation of this paragraph under the procedures established pursuant to resolution 1409 (2002).

December 2002 - REVISED FORM

SECURITY COUNCIL COMMITTEE ESTABLISHED BY RESOLUTION 661 (1990)
CONCERNING THE SITUATION BETWEEN IRAQ AND KUWAIT

NOTIFICATION OR REQUEST TO SHIP GOODS TO IRAQ

For further guidance regarding completion of application please consult OIP website (*www.un.org/Depts/oip*)

(TO BE COMPLETED BY THE UN SECRETARIAT)

COMM. No.	REGISTRATION DATE	DATE RECEIVED BY UNMOVIC (if applicable, for 986) DEADLINE DATE (for 661)	DATE SENT TO THE COMMITTEE (if applicable)

(TO BE COMPLETED BY PROSPECTIVE EXPORTING COUNTRY or INTERNATIONAL ORGANIZATION)

1. MISSION OR INTERNATIONAL ORGANIZATION	2. CERTIFYING SIGNATURE AND OFFICIAL SEAL
3. DATE OF SUBMISSION	4. MISSION REFERENCE No.

5. GOODS TO BE SHIPPED **(General description of the goods).**	6. NUMBER OF LINE ITEMS ON THE EXCEL FORM ATTACHMENT	7. TOTAL VALUE	8. CURRENCY ISO CODE

9. EXPORTER **Name:** **Address:** **Country:** **Phone/Fax/E-mail:**	10. ORIGIN of GOODS (if different from applicant State)
11. RECEIVING COMPANY / ORG **Name** **Address** **Phone/Fax/E-mail**	12. SHIPPING ARRANGEMENTS: **Select ONE Point of Entry into Iraq** ☐ Trebil ☐ Al Waleed ☐ Zakho ☐ Umm Qasr ☐ Ar'ar
13. END USER entity (if different from receiving company / org.) **Name:** **Address:** **Phone/Fax/E-mail:**	14. END USE Provide details of intended end-use. (attach additional sheets if necessary)

15. METHOD OF PAYMENT

☐ **From the Iraq Account in accordance with SC resolution 986 (1995)**
In this case, please fill out PAGES 2 and 3
(Relevant documentation including contract(s) must be attached)

☐ **By other arrangement:**
Provide as much detail as possible
(in this case, disregard Pages 2 and 3)

16. ADDITIONAL INFORMATION:
(Attach additional sheet if necessary)

IF THIS NOTIFICATION OR REQUEST TO SHIP GOODS TO IRAQ
IS TO BE PAID FROM THE IRAQ ACCOUNT
IN ACCORDANCE WITH SC RESOLUTION 986 (1995)
PLEASE FILL OUT THESE ADDITIONAL BOXES
(see box 15 on Page 1)

MISSION REFERENCE No. :

17. IDENTICAL GOODS PREVIOUSLY SUBMITTED:

Indicate whether or not you have previously submitted an application(s) for IDENTICAL goods.

☐ **YES** ☐ **NO** ☐ **UNABLE TO DETERMINE**

If **YES** provide Comm. number reference(s) with respective item number(s).

18. DETAILED LIST OF GOODS:

Indicate whether or not the scope of supply includes any spare parts, accessories, sets, kits, tool boxes, tools, equipment, special tools, lots or consumables.

☐ **YES** ☐ **NO**

If **YES** indicate whether or not all components of the spare parts, accessories, sets, kits, tool boxes, tools, equipment, special tools, lots or consumables have been listed as separate line items with the relevant description, quantity and price on the attached Excel form application.

☐ **YES** ☐ **NO** (in this case, the document will not be registered by the Secretariat)

19. TECHNICAL INFORMATION:

Indicate whether or not the scope of supply includes (separately or as part of larger item) any of the goods and/or technology specified on the OIP web site (www.un.org/Depts/oip)

☐ **YES** ☐ **NO**

If **YES** indicate whether or not the relevant technical specification form for each item has been completed and attached to the application.

☐ **YES** ☐ **NO** (in this case, the document will not be registered by the Secretariat)

20. GRL RELATED ITEM(S) AND/OR TECHNOLOGY:

Indicate whether or not the scope of supply includes any item included in the Goods Review List (GRL). The GRL may be accessed via the OIP website (www.un.org/Depts/oip).

☐ **YES** ☐ **NO** ☐ **UNABLE TO DETERMINE**

If **YES** indicate below the line item number and description as in the Excel sheet of these goods considered to be included on the GRL.

Line Item No.	Description	GRL Ref. No.

(attach additional sheets if necessary)

IF THIS NOTIFICATION OR REQUEST TO SHIP GOODS TO IRAQ IS TO BE PAID FROM THE IRAQ ACCOUNT IN ACCORDANCE WITH SC RESOLUTION 986 (1995) PLEASE FILL OUT THESE ADDITIONAL BOXES (see box 15 on Page 1)

MISSION REFERENCE No. :

NOTE : Boxes 21 to 24 refer to questions frequently asked by U.N. experts during the review of applications. To avoid processing delays, you are strongly advised to complete the following boxes and, if applicable, provide the relevant information when submitting the application. If these questions do not appear to relate to any of the goods in your application, please select "Not Applicable" box.

21.

Are any goods originally designed for military use?

☐ **YES** ☐ **NO** ☐ **Not Applicable**

If **YES** please attach the relevant information.

22.

Are any goods designed or modified to withstand the effects of electromagnetic pulse?

☐ **YES** ☐ **NO** ☐ **Not Applicable**

If **YES** please attach the relevant information.

23.

Are fiber optic cable or optical terminals to be supplied?

☐ **YES** ☐ **NO** ☐ **Not Applicable**

If **YES** please attach the relevant information.

24.

If the goods contain any bearings (as spare parts or as included in the equipment), are the bearings manufacture to a tolerance of ABEC 7 or 9 (or national equivalent).

☐ **YES** ☐ **NO** ☐ **Not Applicable**

If **YES** please attach the relevant information.

IMPORTANT NOTICE

The following attachments are compulsory

1) Excel form application listing IN DETAIL all goods (including all spare parts, accessories ...) + diskette
2) Contract signed by both parties with all attachments, enclosures and annexes
3) All relevant documentations and/or technical specifications of the goods (e.g. brochures, pictures, diagrams, chemical composition, material composition, etc.)

For further guidance regarding completion of application please consult OIP website (*www.un.org/Depts/oip*)